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STATE OF WASHINGTON, STATE PLAN FOR TITLE 1, HIGHER EDUCATION ACT OF 1965. REVISED, JULY 1967.

WASHINGTON STATE PLANNING/COMMUNITY AFFAIRS AGENCY

PUB DATE JUL 67

EDRS PRICE MF-$0.25 HC-$0.60 13P.

DESCRIPTORS- *COMMUNITY SERVICE PROGRAMS, *FEDERAL AID, *COMMUNITY PROBLEMS, *STATE AGENCIES, ADVISORY COMMITTEES, UNIVERSITIES, FINANCIAL POLICY, GUIDELINES, PROGRAM PROPOSALS, WASHINGTON STATE, TITLE 1 (89-329),

THE STATE OF WASHINGTON PLAN FOR PARTICIPATION IN THE FEDERAL GRANT PROGRAM UNDER TITLE 1 OF THE HIGHER EDUCATION ACT OF 1965 OUTLINES THE ORGANIZATION AND THE ADMINISTRATIVE PROVISIONS OF THE PLANNING AND COMMUNITY AFFAIRS AGENCY (INTENDED AS THE SOLE TITLE 1 ADMINISTRATIVE BODY IN THE STATE), GUIDELINES FOR SELECTING COMMUNITY PROBLEMS OR SPECIFIC ASPECTS THEREOF, POLICIES AND PROCEDURES FOR SELECTING INSTITUTIONS FOR PARTICIPATION AND FOR REVIEWING PROPOSALS, FISCAL ASSURANCES (INCLUDING ACCOUNTING PROCEDURES, FEES, AND MATCHING OF FUNDS) PERTAINING TO INSTITUTIONS AND TO THE DEPARTMENT FEDERAL RELATIONSHIP, SUBMISSION OF REPORTS, AMENDMENTS TO THE STATE PLAN, AND FAIR HEARINGS ON ADVERSE DECISIONS IN REGARD TO APPLICANTS FOR FUNDS. (LY)

ED018733

STATE OF WASHINGTON

STATE PLAN FOR TITLE I,
HIGHER EDUCATION ACT OF 1965
Revised, July 1967

Planning and Community
Affairs Agency
Olympia, Washington 98501

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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Washington State Plan for Title I of the Higher Education Act of 1965

List of Sections

		Page
1.	Submittal by designated agency	2
2.	Organization of agency	2
3.	Policies and procedures for selecting community problems	3
4.	Policies and procedures for selection of institutions and review of proposals	5
5.	Fiscal assurances re institutions	7
6.	Fiscal assurances re department-federal relationship	8
7.	Submission of reports	11
8.	Amendments to the State Plan	11
9.	Fair hearings-adverse decisions	12

PLANNING AND COMMUNITY AFFAIRS AGENCY
Olympia, Washington

STATE OF WASHINGTON

STATE PLAN FOR TITLE I OF THE HIGHER EDUCATION ACT OF 1965

1.0 Pursuant to Section 105 of Public Law 89-329, the Planning and Community Affairs Agency, of the State of Washington, hereinafter referred to as the Agency, submits to the United States Commissioner of Education, hereinafter referred to as the Commissioner, its State Plan for participation in the grant program under Title I of the Higher Education Act of 1965. The Agency will be the sole agency in the State to administer this plan.

2.0 The organization and administrative provisions of the Agency are as follows:

2.1 The legal name and official address of the Agency are:

Planning and Community Affairs Agency
Olympia, Washington (98501)

2.2 The title of the principal officer of the Agency is:

Director

The title of the chief staff assistant for the Agency shall be the Administrator. Communications concerning Title I of the Higher Education Act should be addressed to the Administrator.

2.3 Formal provisions for consultations with advisory groups and other agencies in the State have been established as follows:

An Advisory Council composed of two representatives of community service programs in public four-year colleges and universities, one representative of community service programs in private four-year colleges and universities, one representative of community service programs in public community colleges, two representatives of county and city government, three community leaders and one ex officio member has been created and serves in an advisory capacity to the Director of the Agency. The Advisory Council will advise the Agency in preparation of the State Plan and on policy and procedures for administering Title I of the Higher Education Act 1965. Members shall serve for two years from date of appointment and shall be appointed by the Governor.

The Council, its members or the Agency staff, may confer from time to time with the State Board of Education or its representatives and with the presidents of the accredited colleges and universities, or their representatives.

The titles of the principal officers of the Advisory Council are:

Chairman
Vice Chairman

2.4 The Agency will notify the Commissioner within fifteen days of changes in the composition of either the State agency or of the Advisory Council

(1) affecting the special qualifications of the Advisory Council with respect to solving community problems or

(2) affecting the extent to which the Advisory Council is broadly representative of institutions of higher education in the State, public and private.

2.5 The Planning and Community Affairs Agency will conduct all official business relating to Title I, Public Law 89-329, in accordance with the Regulations for Title I as published in the Federal Register, Vol. 31, No. 68, Friday, April 8, 1966 (or as amended), and in accordance with the provisions of Washington State law governing the activities of the Agency (Chapter 74, Laws of 1967, State of Washington). Copies of such additional rules as may be adopted by the Agency or by the Advisory Council in regard to Title I will be forwarded to the Commissioner within 30 days of adoption.

3.0 The policies and procedures to be followed by the Agency in selecting those community problem(s), or specific aspects thereof, for the solution of which Federal funds allotted will be used are:

3.1 At a time in advance of submission of the Annual Program Plan, the Agency with the advice of the Advisory Council will recommend a list of high priority community problems for the solution of which the resources of institutions of higher education are particularly relevant or adaptable. Aside from its own expertise and staff recommendations, the Agency and the Advisory Council will consult with representative community leaders, associations and organizations, and with representatives of institutions of higher education in establishing the list of problems it recommends. The Agency may, from time to time, employ consultants or take such other action as is necessary to accomplishment of its task.

The Agency and the Advisory Council will seek broad representation and discourse in identification of community problems. Emphasis shall be placed on community problems which are particularly present in urban and suburban areas, and which are broadly manifest.

The State Plan will encourage a comprehensive, coordinated statewide system of community service programs designed to assist in the solution of those community problems or needs which are broadest in scope and most beneficial in effect.

The listing of high priority community problems or needs shall reflect those problems that are especially amenable to solution by application of educational resources of the participating institutions of higher education in the State.

3.2 The general methods to be used by the Agency in identifying community problems are:

3.21 Recommendations to the Agency in advance of Federal deadlines, will be based upon:

a. Lists of high priority community problems, including available public opinion surveys designed to identify community problems, solicited from representative community leaders, organizations, associations and institutions of higher education. Where practical, formation of local community ad hoc groups for recommendation of appropriate problem areas and recommendations from such groups shall be encouraged.

b. An inventory of institutional resources appropriate for the support of the community service activities contemplated by this program.

c. Information about other community service programs, and the way in which such programs complement or duplicate programs contemplated under this Plan.

d. After-action reports of projects completed in a previous year.

3.22 The Advisory Council may recommend a list of high priority community problems, appropriate for the attention of projects under Title I of Public Law 89-329.

3.23 The Agency may provide for review of proposals by such experts in various fields as it deems appropriate for evaluation and compilation of data submitted to it.

3.24 The Agency and Advisory Council will present their recommendations as part of the annual program plan amendment (Section 10.0 of this State Plan), and will recommend the share of the annual allotment that should be devoted to each problem area.

3.3 Notice shall be given to all eligible institutions of the selected community problems in the State Plan within fifteen days of approval of the Plan by the U. S. Office of Education.

4.0 Policies and procedures for selection of institutions for participation under the State Plan, and review of proposals.

4.1 The Agency will determine the eligibility of each applicant as defined in Section 173.1 (f) of the Federal Regulations. A determination will also be made that each applying institution has complied with Title VI of the Civil Rights Act of 1964 as evidenced by an assigned assurance number or submittal of Form HEW 441. Subject to these determinations, all institutions shall be eligible to submit a proposal for consideration by the Agency.

4.2 The Agency will not make payments for any program provided by a school or department of divinity. However, any institution of higher education which has a school, branch, department or other administrative unit which comes within the definition of "school or department of divinity" as defined in Section 173.1(h) of the Regulation, will not be precluded from participation if the community service program is not offered by that school, branch, department or administrative unit and, as in all other cases, the community service program is not related to sectarian instruction or religious worship.

4.3 The Planning and Community Affairs Agency will review each application to insure:

(a) That all costs in the project are eligible under the provisions of the Act and the Regulations.

(b) That the information required by Section 5.0 of this plan is submitted.

(c) That the following exhibits are submitted with the application:

(1) A description of the accounting practices by which the institution will provide for an audit of expenditures made in pursuance of the project.

(2) An explanation of the extent to which the project is specifically designed to directly assist in the solution of the problem on which it is focused.

(3) A description of the particular resources of the institution that will be involved in the program and the extent to which those resources will be effectively used in solving the particular problem upon which the project is focused.

(4) A description of arrangements, if any, for cooperation with other institutions of higher education, in this or other States.

(5) A proposed plan for periodic evaluations of progress during the life of the project and for objective and systematic evaluations of the final results of the project, measured in terms of problems solved.

(d) That it contains a certification from the institution that:

(1) The proposed program is not otherwise available;

(2) That the conduct of the program or performance of the activity or service is consistent with the institution's overall educational program and is of such a nature as is appropriate to the effective use of the institution's special resources and the competencies of its faculty; and

(3) If courses are involved, such courses are extension or continuing education courses (a) fully acceptable toward an academic degree or (b) of college level as determined by the institution offering the course.

(e) That the application is signed by the president of the applying institution or his duly authorized representative.

4.4 The following process shall be used to select applications for grant awards:

4.41 An annual deadline for receipt of complete project proposals focusing upon problem areas announced in the State Plan shall be established.

a. For the fiscal year ending June 30, 1966 the deadline shall be June 8, 1966.

b. For the fiscal year ending June 30, 1967, the deadline shall be February 1, 1966.

c. For succeeding fiscal years, the deadline shall be May 15 of the fiscal year preceding the year for which funds are requested.

4.42 In order to be considered for a grant in a given fiscal year proposals must meet the following criteria. The decision of the Agency shall be based upon which proposals best meet all of these critieria:

a. The proposal is specially designed to assist in the solution of the identified urban, suburban or rural community problem.

b. The institution has involved, or will involve appropriate community representatives in planning, developing and programming the project, including the community college, if possible.

c. The institution has conferred with appropriate representatives of the community in defining and identifying the aspect of the problem that the project is designed to assist in solving.

d. The project focuses its attention upon the education of members of the community in such a way that they are better able to solve their own community problems.

e. The project is appropriate to and within the competency of the institution.

f. The institution is committed to the project in funds, administrative support and faculty involvement.

g. Provisions have been made for evaluating and reporting the results of the project to the Agency.

4.43 In addition to their response to the above criteria, applicants will indicate, where applicable:

a. The existence of a plan for inter-institutional coordination or resources in cooperation in a common project.

b. The extent to which the project will strengthen the community service programs of the college or university.

4.44 All projects received by a given deadline will be evaluated by the Agency staff and such consultant reviewers as it may require in accordance with the above criteria. The results of such evaluations will be reported to the Council.

4.45 Eligible proposals will be referred to the Council for review and recommend to the Agency those projects which it considers best meet the criteria of Section 4.42.

5.0 Fiscal Assurances

5.1 The Agency shall require from participating institutions as part of

the application, information necessary to establish that all institutions participating under the Plan will together have available during that year from non-Federal sources for expenditures for extension and continuing education programs not less than the total amount actually expended by those institutions for extension and continuing education programs from such sources during the fiscal year 1965, plus an amount which is not less than the non-Federal share of the costs of community service programs for which Federal financial assistance is requested.

5.2 The Agency shall separately require, as part of the application, information necessary to establish that all institutions participating under the Plan in a given year will together have available during that year from non-Federal sources for expenditures for community service programs not less than the total amount actually expended by those institutions for community service programs from such sources during fiscal year 1965, plus an amount which is not less than the non-Federal share of the costs of community service programs for which Federal financial assistance is requested.

5.3 Records documenting expenditures necessary to make these findings shall be kept by the Agency and made available to the U.S. Commissioner of Education upon request.

6.0 The following fiscal arrangements and accounting procedures shall apply in receiving and utilizing Federal funds for expenditures under the Act.

6.1 General arrangements applying to both the expenses of the Agency and expenditures of institutions of higher education incurred under a grant approved by the Agency.

6.11 The estimated and actual expenditures for projects approved under this State Plan and for expenditures for administration of the approved State Plan will be reported in terms of the Federal fiscal year, July 1 to June 30.

6.12 The Director of the Agency is the Officer with legal authority to receive Federal funds and the State Treasurer will provide for the custody of the Federal Funds.

6.13 The State Treasurer will issue and sign warrants in payment of vouchers certified to the Director of the Agency or his designated representative.

6.14 Federal funds received by the State will be deposited in the General Fund with separate accounting as prescribed in the Budget and Accounting Manual. Accounting procedures permit identity of revenues, expenditures and balance remaining.

6.15 The accounts and documents supporting expenditures, which will make possible an accurate and expeditious audit of the utilization of the Federal funds by the Agency in accordance with the Budget and Accounting Act, are described as follows: State Vouchers, Warrant Register Document, Warrant Register Summary Document, Allotment and Expenditures Ledger Account, Program Expenditure Ledger Account.

6.16 State Laws and regulations provide as follows with regard to allocation of expenditures to fiscal year periods where outstanding obligations or encumbrances carry from one fiscal year to another: The State employs an accrual system of accounting under which expenditures are charged to the fiscal period in which goods, materials, or services are received. Encumbrances against allotments of appropriated funds are rendered upon the issuance of orders or contracts for goods, materials, or services to be received.

6.2 Additional arrangements applying to expenses of the Agency in developing and administering the State Plan for Title I of the Higher Education Act of 1965.

6.21 The fiscal officer of the Agency shall maintain a separate account for expenditures in administering the State Plan.

6.22 The Director of the Agency or his designated representative will requisition and approve the expenditures of any Federal funds for expenses of the Agency.

6.23 The accounts and documents, described in 6.15, in support of expenditures for administration of the State Plan will be maintained in accordance with the Budget and Accounting Act until notification of completion of Federal audit for the Federal fiscal year concerned and will be maintained for the Agency by the Fiscal Officer of the Planning and Community Affairs Agency, Olympia, Washington.

6.24 If expenses of the Agency for administration of the State Plan are mixed with expenses for activities not involved in administration of the State Plan, the following methods will be used to determine the costs chargeable to preparation or administration of the State Plan: In accordance with the Budget and Accounting Act, separate accounting will be maintained for direct expenses. Personal services and equipment usage expenditures will be prorated by the time method. Consultant fees, rental, lease and other expenditures chargeable to the preparation or administration of the State Plan will be prorated on the basis of percent of time devoted to each activity or the relative value of the service or usage to each activity, as appropriate. All records showing the basis of proration will be retained for audit.

6.25 The extent and frequency of State audits of expenditures by the Agency under the approved State Plan, including expenditures of Federal funds, and the responsibility for corrective action regarding exceptions by the State Auditors, are as follows: The State Auditor will conduct a yearly audit of all expenditures made under this Act and all receipts received under this Act.

It shall be the duty of the State Budget Director to cause corrective action to be taken promptly regarding exceptions taken by the State Auditor as provided in RCW 43.88.110.

6.3 Additional arrangements applying to expenses of participating institutions incurred under grant contracts approved by the Agency.

6.31 Transfers or payments to participating institutions, as authorized by approved grant agreements, shall be made directly by the Agency to participating institutions in accordance with applicable statutes and regulations. Such funds shall be maintained by participating institutions in a separate project fund account for each approved project.

6.32 The payment of Federal funds to all participating institutions shall be by quarterly advance payment for the authorized percentage of estimated eligible expenditures in connection with an approved project. Requests for advance payment will be submitted in the form required by the Agency for the quarterly periods ending September 30, December 31, March 31 and June 30.

When the Agency determines that an overpayment has been made, adjustments will be made by repayment or by setoff against payment thereafter.

6.33 The Agency shall ascertain the accounting practice of each institution at the time of its selection for participation under the State Plan and shall keep such information on file.

6.34 If expenses of an institution in connection with a project approved under this State Plan are mixed with other activities of the institution, the following methods will be used to determine the costs chargeable to the project: Separate accounting will be maintained for direct expenses. Personal service and equipment usage expenditures will be prorated on the basis of percent of time devoted to each activity or the relative value of the service or usage to each activity, as appropriate. Records showing the basis of proration will be retained for audit.

6.35 The extent and frequency of State Audit of expenditures of participating institutions in connection with approved projects follow:

a. Upon completion of the project, the State Auditor shall conduct an audit of all expenditures incurred under the approved grant agreement.

b. Auditors will be informed of program requirements in sufficient detail to enable them to formulate opinions regarding eligibility of expenditures. Copies of the State Plan, the Federal Regulations governing the program, and any other program documents governing eligibility of expenditures will be explained and provided to the auditors.

c. A state agency report of total project expenditures will be provided to the auditor as a basis for reconciling amounts of expenditure shown in reports of institutional audit.

d. Exceptions taken in the audits of institutional records will be brought to the attention of the Director of the Agency. It shall be his duty to take prompt corrective action regarding any exceptions.

e. Reports of institutional audit shall be available in the Planning and Community Affairs Agency, Olympia, Washington.

6.36 Fees

If fees charged to participants in any Title I program exceed the local matching share for that program, the federal share will be reduced by the amount by which the fees exceed the local matching share. Such amount shall revert to the State's program funds for the same fiscal year for re-allocation.

6.37 Statewide and institutional matching

For the purpose of matching the federal allocation, the entire state matching funds, or those of several projects or programs from one or more institutions, may be considered as a unit, and overmatching on one or more projects or programs may be used to balance undermatching on another project or program.

7.0 Submission of reports.

7.1 The Agency will submit to the Commissioner the reports enumerated in Regulation 173.20, and any other reports as the Commissioner may

require to carry out his functions under the Act; and will maintain such records, afford such access thereto, and comply with such other provisions as the Commissioner may find necessary to substantiate and verify the information contained in the reports.

7.2 The Agency will keep accessible and intact all records supporting claims for Federal grants, or relating to the accountability of the Agency and participating institutions of higher education for expenditure of such grants and the expenditure of matching funds, as required by Regulation 173.29.

8.0 Amendments to the State Plan

8.1 A revised Annual Program Plan will be submitted to replace Section 10.0 of this State Plan by September 1, 1966 for fiscal year 1967 and by June 30 of each fiscal year thereafter.

8.2 The State Plan will also be appropriately amended whenever there is any material change in the designation of the State Agency, the content or administration of the State Plan, or when there has been a change in pertinent State law.

8.3 All amendments will clearly indicate the changes and will be signed and certified in the same manner as the original plan and will become effective upon approval by the Commissioner.

9.0 The Agency will afford to every applicant which has filed an application with the Agency an opportunity for a fair hearing before the Agency as to any determination of the Agency adversely affecting such applicant.

9.1 An applicant so affected may request such a hearing by the following method:

> Every applicant adversely affected by a determination of the Agency, shall, upon request made in writing and filed with the Director of the Agency, be granted an opportunity for a hearing before the Director to determine whether or not the applicant should have received a Federal grant within the funds available for the fiscal year in which the application was considered.

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